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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/500,179

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Perry L Johnson

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BROOKS KUSHMAN P.C.
1000 TOWN CENTER
TWENTY-SECOND FLOOR
SOUTHFIELD, MI 48075

EXAMINER

SANTIAGO, LUIS F

ART UNIT

PAPER NUMBER

3624

MAIL DATE

DELIVERY MODE

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PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/500,179	Applicant(s) JOHNSON, PERRY L	
	Examiner LUIS SANTIAGO	Art Unit 3624	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 24 May 2010.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1 and 9-12 is/are pending in the application.
- 4a) Of the above claim(s) None is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1 and 9-12 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 25 June 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|-------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. This is the **final** Office Action in response to applicant amendment filed on May 24, 2010. Currently claims 1, 9-12 are pending.

Response to Arguments

2. Applicant's arguments with respect to rejection based on Aycock et. al. (US 5,765,138) has been fully considered but they are not persuasive.

3. Applicant argues (Remarks Paragraph 2, page 2) that "Aycock does not receive client information including and industry code identifying a type of industry of a product or service provide by a client".

a. In response to argument, examiner respectfully disagrees. It is noted that Aycock discloses "the maturity requirements that are established from ISO 9001-model for quality assurance and design, production, installation and servicing" (Col. 5, lines 19-25); "the completed RFP/RFQ is received from the supplier, and includes the supplier responses to RFP/RFQ requirements...after the completed RFP/RFQ including the supplier responses is received from the supplier in step, the supplier responses to the maturity questions are analyzed" (Col. 6, lines 5-17).

4. Applicant further argues (Remarks Paragraph 3, page 3) that "Aycock does not receive client including a type of quality audit".

b. In response to argument, examiner respectfully disagrees. Aycock discloses "a supplier interface, which may be in the form of an executable code or a protected data file" (Col. 3, lines 61-66); "the access routine selectively accesses

the local specification files and the communication software to provide information to a user operating the word processing system based on user requests for information” (Aycock Col. 4, lines 30-33).

c. The supplier evaluation system ...stores existing vendor performance reports, prior on site audit reports, and supplier responses” (Aycock Col. 9, lines 37-50). However, Arrowood teaches “a client monitor track references numbers for employees working for the client. Tracking system that allows firm managers to track all the employees who have worked at the firm according to such areas as dates worked, tasks performed” (Arrowood, ¶ 0015).

5. Applicant argues (Remarks Paragraph 4, page 3) that “Aycock does not generate a formal quotation using a computer database application for an audit based on the client information and the auditor staffing requirements information”.

d. In response to argument, examiner respectfully disagrees. Aycock discloses “vendor qualification typically involves the process of a purchasing agent identifying a set of technical requirements that need to be met, compiling the technical requirements into a request for proposal or a request for quotation” (Aycock Col. 1, lines 45-48); “a supplier may selectively access local database files on the CD-ROM for information..., or may remotely access the supplier evaluation system databases for supplemental information” (See abstract); “after the necessary quality maturity requirements have been selected...the process continues to apply the requirements to the request for proposal/request for quotation (RFP/RFQ), ... the supplier responses may be in written form, or may

be electronically stored on a tangible medium, such as a floppy diskette, a non-volatile memory card, etc” (Col. 5, lines 66-67 to Col. 6, lines 1-13).

6. Applicant argues “the examiner admits that Aycock... does not disclose “receive” auditor staffing requirements information...,” (Remarks Paragraph 4, page 3).

e. In response to argument, examiner respectfully disagrees. Aycock disclose “vendor qualification typically involves the process of a purchasing agent identifying a set of technical requirements that need to be met, compiling the technical requirements into a request for proposal or a request for quotation” (Aycock Col. 1, lines 45-48); “a physical audit at the supplier site is conducted. The on-site audit, also referred to as a supplier site evaluation, is typically performed by the purchasing agent and/or employees/consultants...specialized in relevant fields, such as design engineers, quality control engineers, etc” (Aycock Col. 9, lines 19-25). Although Aycock disclose the audit based on the client information and the auditor staffing requirements information as stated above, However, Aycock does not explicitly disclose “requirements information is based on the number of employees”. Arrowood teaches a client monitor track references numbers for employees working for the client. Tracking system that allows firm managers to track all the employees who have worked at the firm according to such areas as dates worked, tasks performed” (Arrowood, ¶ 0015); Arrowood teaches “a process for employees or personnel to be selected to correspond to client or employer needs, and a process to collect and interpret

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feedback on employee, personnel and client, employer performance” (Arrowood, ¶ 0044).

Applicant further argues that “the examiner fails to establish a *prima facie* case of obviousness. The examiner recognizes that obviousness may be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988), *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992), and *KSR International Co. v. Teleflex, Inc.*, 550 U.S. 398, 82 USPQ2d 1385 (2007). In this case, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock to have incorporated a client monitor track references numbers for employees working for the client. Tracking system that allows firm managers to track all the employees who have worked at the firm according to such areas as dates worked, tasks performed as taught by Arrowood in order to facility easy online access for feedback on temporary employees, and to ensure quality control of employee’s assignment.

Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

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(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. **Claim 1** is rejected under 35 U.S.C. 103(a) as being obvious over Aycock et. al. (US 5,765,138) in view of Arrowood et al. (US 2002/0010614) (Hereinafter referred to as Arrowood).

With respect to **claim 1**:

Aycock teaches "An audit quotation system" comprising:

"one or more computers configured to receive" client information including at least an industry code identifying a type of industry of a product or service provided by a client (Aycock Col. 3, lines 61-66, "a supplier interface, which may be in the form of an executable code or a protected data file"). (Aycock Col. 4, line 30, "The access routine selectively accesses the local specification files and the communication software to provide information to a user operating the word processing system based on user requests for information");

"generate" a formal quotation "using a computer database application" for an audit based on the client information and the "auditor" staffing requirements "information" (Aycock Col. 1, lines 45-48, "Vendor qualification typically involves the process of a purchasing agent identifying a set of technical requirements that need to be met, compiling the technical requirements into a request for proposal or a request for quotation");

Aycock teaches the above limitation, but does not disclose a type of quality audit, and a number of employees.

However, Arrowood teaches “a client monitor track references numbers for employees working for the client. Tracking system that allows firm managers to track all the employees who have worked at the firm according to such areas as dates worked, tasks performed” (Arrowood, ¶ 0015).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock to have incorporated a client monitor track references numbers for employees working for the client. Tracking system that allows firm managers to track all the employees who have worked at the firm according to such areas as dates worked, tasks performed as taught by Arrowood, in order to facility easy online access for feedback on temporary employees, and to ensure quality control of employee’s assignment, and since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

Aycock teaches the above limitation, but does not disclose “receive” auditor staffing requirements “information, wherein the auditor staffing requirements information is” **based on** “the number of employees”.

However, Arrowood teaches a process for employees or personnel to be selected to correspond to client or employer needs, and a process to collect and

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interpret feedback on employee, personnel and client, employer performance (Arrowood, ¶ 0044).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock to have incorporated a process for employees or personnel to be selected to correspond to client or employer needs, and a process to collect and interpret feedback on employee, personnel and client as taught by Arrowood, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

Aycock teaches the above limitation, but does not disclose “store” formal quotation information in “the computer” database “application” for tracking existing and prospective clients.

However, Arrowood teaches the order is stored in the database in the order data. The candidate employee information is then stored as the Assigned Candidate Profile. (Arrowood, ¶¶ 0112-0113); the prospective employee/personnel may be requested to fill out the online application, experience evaluation form, and perhaps do the test materials. (Arrowood, ¶ 0118)

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock to have incorporated a process for employees or personnel to be selected to correspond to client or employer

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needs, and a process to collect and interpret feedback on employee, personnel and client as taught by Arrowood, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

Aycock teaches the above limitation, but does not disclose “transmit the” formal audit quotation to a salesperson for delivery to the client.

However, Arrowood teaches a candidate is selected by the client; preferably an assignment confirmation letter is transmitted, electronically or otherwise. The system also disburses an e-mail message to the employee confirming the assignment, describing the client, described client location, detailing access for that client. (Arrowood, ¶¶ 0121-0123)

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock to have incorporated an e-mail message to the employee confirming the assignment, describing the client, described client location as taught by Arrowood, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

9. **Claims 9 and 10** are rejected under 35 U.S.C. 103(a) as being obvious over Aycock et al. (US 5,765,138) in view of Arrowood et al. (US 2002/0010614) as applied

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to claim 1 above and further in view of McFarland et al. (US 6,154,753) (Hereinafter referred to as McFarland).

With respect to **claim 9**:

The combination of Aycock and Arrowood teaches the above limitation, but does not disclose “system” of claim 1 wherein the industry code comprises the Standard Industrial Classification (SIC) code established by the United States Department of Commerce.

However, McFarland teaches a computer implemented system and method and a computer readable medium configured to substantially obviate one or more of the problems in complying with the requirements of ISO 9000 and corresponding standard requirements. (McFarland Col. 3, lines 49-53); (See Abstract, “A computer implemented system and method and a computer readable medium for complying with the requirements of a quality standard known as ISO 9000”).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock and Arrowood to have incorporated implemented system and method and a computer readable medium configured to substantially obviate one or more of the problems in complying with the requirements of ISO 9000 and corresponding standard requirements as taught by McFarland, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

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With respect to **claim 10**:

The combination of Aycock and Arrowood teaches the above limitation, but does not disclose the “system” of claim 1 wherein the type of audit is selected from an environmental audit, a quality system audit, a pre-assessment audit, an initial registration audit, a registration upgrade audit, and a surveillance audit.

However, McFarland teaches an audit trail by storing and making available previous iterations of current documents as child documents, insuring that the first issue, subsequent changes to content, movement to draft status, reprieve, and reissue are available for auditing the activities of the business. (See McFarland, abstract); the project management creates and audit trail for all project activities, and enhances on organizations ability to take advantage of lessons learned on previous projects. (McFarland Col. 28, lines 48-51).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock and Arrowood to have incorporated creates and audit trail for all project activities, and enhances on organizations ability to take advantage of lessons learned on previous projects as taught by McFarland, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

10. **Claim 11** is rejected under 35 U.S.C. 103(a) as being obvious over Aycock et al. (US 5,765,138) in view of Arrowood et al. (US 2002/0010614) as applied to claim 1

above and further in view of Weber et al. (US 2002/0138377) (Hereinafter referred to as Weber).

With respect to **claim 11**:

The combination of Aycock and Arrowood teaches the above limitation, but does not disclose the “system” of claim 1 wherein the industry code includes a hierarchical classification system having major and minor classifications.

However, Weber teaches the security setting table also comprises a security level field. The security level field is utilized to store different security levels that are to be assigned to users of the auditing system (FIG. 1). (Weber ¶ 0033)

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of Aycock and Arrowood to have incorporated the security level field is utilized to store different security levels that are to be assigned to users of the auditing system as taught by Weber, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

11. **Claim 12** is rejected under 35 U.S.C. 103(a) as being obvious over Aycock et al. (US 5,765,138) in view of Arrowood et al. (US 2002/0010614) in view of Weber et al. (US 2002/0138377) as applied to claim 11 above and further in view of Auditor selection and audit committee characteristics (Hereinafter referred to as Abbott).

With respect to **claims 12**:

Weber further teaches requesting the user of the system to provide a job code for each of the selected employed entities to further define the queries that may be selected for auditing each of the selected employed entities. (Weber, ¶ 0010)

Weber teaches the above limitation, but does not disclose the “system” of claim 11 “wherein the one or more computer are” further “configured to assign” auditors based on the industry code.

However, Abbott teaches Industry membership was determined based on the two digit Standard Industrial Classification (SIC) code listed on Comp stat. The two digits SIC codes were then grouped based on the Big 6 audit firms' self reported focus industries presented in Hogan and Jeter (1997) and used in Franz et al. (1998). Hogan and Jeter (1997) devised this industry classification scheme based upon target industries as reported by each Big 6 firm. This method results in a total of 12 industry codes. (See Abbott, Auditor selection and audit committee characteristics, page 52). This study focuses on one frequently noted function of the audit committee: auditor selection. Auditors who specialize in the client's industry are expected to provide a higher level of audit quality than do no specialists. (See Abbott, Abstract).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time of the invention to have modified the system of the combination of Aycock, Arrowood and Weber to have incorporated auditor selection. Auditors who specialize in the client's industry are expected to provide a higher level of audit quality than do no specialists as taught by Abbott, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the

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same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combinations were predictable.

Conclusion

12. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed Luis Santiago whose telephone number is (571) 270-5391. The examiner can normally be reached Monday to Friday from 8:00 to 5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jasmin, Lynda can be reached on (571) 272-6782. . The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

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/LS/

August 4, 2010.

/LYNDA C JASMIN/

Supervisory Patent Examiner, Art Unit 3624